



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/371,648	08/10/99	YANAGIMACHI	R 265036600070

BARBARA E ARNDT  
JONES DAY REAVIS & POGUE  
NORTH POINT  
901 LAKESIDE AVENUE  
CLEVELAND OH 44114



NOT ASSIGNED

1643

DATE MAILED:

08/31/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**

*Filing Date Granted*

*due 10/31/99*

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a

☐ small entity (statement filed) ☒ non-small entity is \$ 908

☒ 1. The statutory basic filing fee is:

- ☒ missing.  
☐ insufficient.

Applicant must submit \$ 760 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ 18 for 1 total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

02/03/2000 CCEIN 00000108 09371648 65.00 DP 01 FC:205



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARK  
Washington, D.C. 20231

#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/371,648	08/10/99	YANAGIMACHI	R 265930600070

BARBARA E ARNDT  
JONES DAY REAVIS & FOGUE  
NORTH POINT  
901 LAKESIDE AVENUE  
CLEVELAND OH 44114



NOT ASSIGNED

1643  
DATE MAILED:

08/31/99

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application fails to comply with the requirements of 37 CFR 1.821 - 1.825.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ 7. OTHER: \_\_\_\_\_

**APPLICANT MUST PROVIDE:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing."
- ☒ An initial or substitute paper copy of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE CONTACT:**

- ☐ For Rules Interpretation, call (703) 308-1123.
- ☐ For CRF submission help, call (703) 308-4212.
- ☐ For PatentIn software help, call (703) 308-6856.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



Box 56  
Sector #3  
PATENT  
Docket No.: 265036600070

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Ryuzo Yanagimachi, et al.  
Serial No. : 09/371,648  
Filed : August 10, 1999  
For : **MAMMALIAN TRANSGENESIS BY  
INTRACYTOPLASMIC SPERM  
INJECTION**  
Group Art Unit : 1643  
Examiner : Unknown

Assistant Commissioner for Patents  
Attention: BOX MISSING PARTS  
Washington, D.C. 20231

Sir:

I hereby certify that this correspondence  
is being deposited today with the United  
States Postal Service as first class mail in  
an envelope addressed to: Assistant  
Commissioner for Patents Washington,  
D.C. 20231  
on January 28 2000  
By: Suzanne O'Brien

RESPONSE TO NOTICE TO FILE MISSING PARTS

This is a response to the Notice to File Missing Parts, mailed August 31, 1999, for the above-identified patent application. A shortened statutory period for response was set to expire on October 31, 1999. A PETITION for a three-month extension of time and a check in the amount of \$435.00 for the petition fee accompany this response.

Applicants herein submit the NOTICE OF MISSING PARTS, together with the DECLARATION AND POWER OF ATTORNEY, SMALL ENTITY STATEMENT, and a check in the amount of \$65.00 (Sixty-Five Dollars) for the surcharge fee for a small entity. A PETITION Under 37 CFR § 1.47 to accept the Declaration by one inventor on behalf of himself and the joint inventor, a check for the petition fee in the amount of \$130.00, and a Declaration by Calvin P. Griffith, are also enclosed herewith.

#3

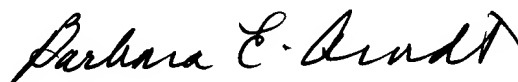
The Notice of Missing Parts states that the statutory basic filing fee is "missing". Moreover, the Notice states that the subject application is "not assigned". Applicant respectfully asserts that the statutory basic filing fee of (\$389.00) for a small entity, having one additional claim over 20, was paid at the same time as the subject application was filed, *i.e.*, on August 10, 1999. Moreover, an assignment and a Recordation Form Cover Sheet, along with a check for \$40.00 was sent with the subject application at the same time as the application was filed, *i.e.*, on August 10, 1999.

Copies of the patent application transmittal sheet, the fee transmittal sheet, the patent recordation form cover sheets, and the assignment are here enclosed. Also here enclosed are copies of the Express Mail mailing receipt showing a mailing date of August 10, 1999, the postcard receipt stamped as received by the U.S. Patent and Trademark Office, and a copy of each of checks #1312926 in the amount of \$389.00 (basic statutory filing fee) and # 1312953 in the amount of \$40.00 (assignment recordation).

The Assistant Commissioner is hereby authorized to charge any additional fees under 37 CFR §§ 1.16 and 1.17 which may be required by this paper, or to credit any overpayment to the Jones, Day, Reavis & Pogue Deposit Account No. 10-1202, Order No. 265036-600070.

Respectfully submitted,

JONES, DAY, REAVIS & POGUE



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Barbara E. Arndt, Ph.D.  
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